Workstream:

Policy Office Assessment

NORTH CAROLINA DEPARTMENT OF TRANSPORTATION
TRANSFORMATION MANAGEMENT TEAM

POLICY OFFICE ASSESSMENT

(SUBTEAM) ANALYSIS & RECOMMENDATION
JANUARY 16, 2008

Missy Dickens, Subteam Lead
Theresa Canales
Ehren Meister

Table of Contents

ISSUE TO BE REVIEWED (HYPOTHESIS)

Should all NCDOT policies and procedures – both current and historical – be managed and maintained in one place in the Department?

RESEARCH AND FINDINGS

As part of our research, we found good examples of policy offices and/or websites through web searches, and contacted some of those for more information. We identified the following (ones we contacted are marked with an asterisk; those that responded are marked with a double asterisk):

Arizona State University*
Carnegie Mellon University
Cornell University**
Florida Department of Transportation**
Georgia Department of Transportation**
Indiana University
North Carolina Department of Administration*
North Carolina Department of Health and Human Services*
North Carolina Secretary of State's Office*
North Carolina State University*
Ohio Department of Transportation**
Purdue University
University of Minnesota**
University of South Carolina
University of Southern California

Via email, we asked the following questions of those we contacted:

1. Does your organization's policy function exist as a stand alone office?
2. Where does it reside in your organization?
3. How big is the office (number of staff) and what kind of people staff it (clerical, manager, etc.)?
4. What are the roles and responsibilities of the office? Do they go beyond simply maintaining the web library?
5. What was the process for implementing the office/library?
6. We have seen you policies in the internet. Do you have additional items that you manage on a secure site, server, or intranet?
7. Do you manage a review process for draft policies? If so, can you briefly describe that process?
8. Do you have a process to insure timely updates? If so, can you briefly describe that process?

Below is a compilation of the answers we received.

University of Minnesota

Contact: Michele Gross, University Policy Director

1. Stand-alone office since 1993.

2. Resides in the Office of Institutional Compliance, which then reports directly to the President of the University of Minnesota. It just made the move from reporting to the Associate VP and Controller as of April 2007.

3. Staff: Three people in this office: a director (the person we contacted), a policy librarian (information tech specialist), and a graphics designer.

4. Roles and responsibilities: content management system for **University-wide documents** (policies, procedures, forms, and tasks). Colleges may develop more restrictive local policies that they manage. The librarian is the individual who actually makes the updates on the documents or publishes new, as well as produces reports (usage, etc.) The office is responsible for **all administrative policies** (currently 202) but this number is going down. The Director is a **'gatekeeper' for new policies and major revisions**. Policy owners come through this office to propose changes. The Director then **facilitates the process (reviews initial policy, calls together our Policy Advisor Committee (PAC), manages the review schedule)**. The office provides **some services** as needed, such as policy writing. Some owners only have one policy so it is a small percentage of someone's job. The Director will typically offer to step in and do their writing if they give her the material changes. They do have major areas that have their own policy writer and manage all their internal communications before it gets to the office for the broader review. These include: Human Resources, Senate Policies, and Research. In these areas, the Director would work more directly with the policy writers than the owners. The office provides tools for the owners to use in maintaining their documents. The office might assist with creating the articles to announce the new policies or merely forward pre-written **announcements** to the key list serves. The office will also do **peer institution research** when considering a policy change (e.g., how do the other Big Ten school handle smoking, for example).

5. Process for implementing : referred us to Pat Spellacy (we contacted Mr. Spallacy, but never got a response).

6. Internet/intranet: Policies are links from the policies or from the index pages. Again, the office does not handle the 'local' policies that may be developed by colleges and departments. There are also some policies that are campus specific (e.g., Duluth, Crookston, Morris, and Rochester). They have their own processes for developing a policy where needed. One of the Director's goals is to intertwine these campus-specific processes with the university-wide ones over the next year. They have **draft documents that are kept on a secure site.** Right now, they are headed toward a managed system implementation (their financial system is being replaced as of 7/1/08) and all the new policy drafts have been created and sitting behind the scenes until that date arrives.

7. Review process: They now have a rather elaborate process that is designed for quality control, for maximizing the opportunity for input prior to implementation, and a much stronger maintenance approach. They provided their process flow as a starting point. There are **two key committees** with whom the Director works **to review and ultimately obtain approval for new policies**. The highest level is comprised of 9 vice presidents: VP and Chief of Staff to the President (chair), Sr. VP and Provost, Sr. VP of Health Sciences, Sr. VP Student Affairs, VP for University Services, VP and CFO, VP of Human Resources, VP for Research, and our General Counsel. They **meet quarterly.** A **more active working committee** (Policy Advisor Committee) **meets every 3-4 weeks** and will **review policy drafts and policy plans submitted by the policy owners**. This group has representatives from each of the VPs, as well as the policy coordinator for the University Senate, and the Policy Office Director serves as chair. Examples of committee members here include an attorney, the University Controller, and the three key policy writers (see above).

8. Updates: in the past, it has been more of a clearinghouse: when owners contact the office, the corrections/updates were made. They are **now driving that schedule and will be actively engaging the owners**. They also launched a **comprehensive review of all existing policies** in August and it will probably be a **3 year initiative** by the time the last of the reviewed/revised policies come back to the office.

9. The Director wishes that it would take less time to get through a policy but there are a lot of people who want to be involved along the way.

10. Recommendations/cautions: Ensure a solid alignment (organizationally) **as to close the top of the structure as possible**. Being within the President's Office gives more visibility, and more backing when needed**. Easy access and consistency** for your end users is critical. You could have the best policies in the world, and if the intended audience cannot find them or cannot understand them, it is not much better than having none. Get the commitment and support you need to ensure that the policies that are developed work for everyone and that the **buy-in is validated before publishing**. As you can see by University of Minnesota committees above, they have an investment in time and energy from all corners of the units and the highest of levels.

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Ohio DOT

Contact: Andy Eline, ODOT Office of Communications, Web Site Administrator/ Graphic Section Manager; Andy.Eline@dot.state.oh.us

1. Not a stand-alone office
2. Resides in Office of Communication
3. The office consists of a staff of one, a section manager (i.e., "policy manager") for the graphics area of the Office of Communication, who also handles Web Administrator duties from a content perspective for the entire site. This person has corresponding peers in IT who deal more with the technical aspects. There is also another designer in the graphics section which serves as **backup** in terms of being able to add or address existing content.
4. Roles and Responsibilities: They work closely, literally and figuratively, with their executive management team in developing most of the major policy documents, such as the business plan (which has replaced/acts as the *de facto* annual report or state of the system report). The **smaller specific individual policies and standard operating procedures are all authorized through the director's office**. **The larger documents will most likely continue to originate through the office**, and additional ones as necessary when these are rolled out is just part of the distribution process. Generally, the bulk of the time is spent developing the actual documents and policy items, and these are not all created in the office. Major executive management documents tend to be created in the office, but **smaller guidelines, technical materials** (such as items linked from the Design Reference Resource Center or DRRC), official policies and standard operating procedures are all **self-generated by the issuing offices.** Once the policy manger gets the final documents for items not created in our office, he converts those not already submitted or available as PDFs and add the files (if necessary) and establish the links. This is done rather quickly, no more than a half-hour per item, generally. Another person, in the office of Production, handles the quarterly updates to the DRRC page.
5. Process for implementing : It's been so gradual (and frankly, slow) and organic that it's hard to quantify. In the past, new items were being added on an ad-hoc basis to different parts of the site and we just decided to group them in these aggregate pages, such as the Policy page and the Design Reference Resource Center (DRRC). Working through the process to move everything over provides an inaccurate assessment of effort expended due to the learning curve inherent in using the new system and the ability to leverage the existing content into the new framework.
6. Inter/Intra: The office keeps **an internal and external** version; the internal has every single item; while the external version is of general use or interest to the public (of course all are public record, but they are sorted anyway; the records requests process handles the more obscure or "sensitive" items.)
7. Review process: The **internally facing policy page** does offer any policies or SOPs which are **in draft phase** for any period of time. Review processes vary and are dependent on the subject matter and the issuing offices' procedures/needs. Generally, it functions as a **clearinghouse.** Although the manger's new supervisor, the deputy director of Communications, is more actively involved in day-to-day policy matters than the previous administrator.
8. Updates: Currently, the executive assistant for the director sends the policy manager an email if/when new or changed policies and SOPs go into effect, and the policy manager adds the items to the pages. Updates and new items are generally posted to the Web as soon as they are made available, or at predefined schedules (e.g.

quarterly updates for DRRC documents). Currency is never too much of a concern, although nothing is perfect and occasionally some items might take a while longer to get posted than others.

9. Changes: As discussed, **more automation**, hopeful via SharePoint, would be ideal. Also, it is a pretty loosely constructed system without much in the way of formal rules or processes. **Codifying and keeping better track** of if/when things get posted could be an improvement area. **Maybe a better formalized process overall, such as one with tracking and addition notification procedures to ensure items don't slip through the cracks** would also be beneficial... The policy manager hopes to work toward that using SharePoint eventually. SharePoint could fill a workflow and approval process role based on its ability to act as a team site/collaborative tool. Most likely, that would all remain internal (Intranet) based, with final policies/SOPs added to the external site as necessary.
10. Recommendations/cautions: The **archived older material** is kept around for reference on the site, and the policy manager will be moving those dated items as well into the new system. Having a continuum of information all in one spot has been positive all around. The policy manager created or worked on many of the files found in this area, refers to it personally, and suggests accessing it to others quite frequently. They are transitioning from FrontPage to SharePoint for Web content management. For now they are planning on just moving everything over, but the new system allows for **greater flexibility in document management and distributed management/authoring by different users**. Once our SharePoint site is up and running, it is likely that additional individual Policy and SOP documents will be managed directly by the Director's assistant. The nature of SharePoint should allow for more general incorporation and automatic linking of new documents without as much manual oversight.

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Florida DOT

Contact: Tana Ashbaker, Forms & Procedures Administrator, Florida Department of Transportation.

Besides Policies, Procedures, Directives, Guidelines, Standards, and Manuals (plus chapters and sections)…Florida also creates and maintains web-based Forms (1,286). So it is a very high-function, visible, and active office.

1. Stand alone office: Yes
2. Resides under Director of Administration
3. Staff: Four: 2 Forms Designers (1 is also the Applications Systems Programmer), 1 Forms & Procedures Analyst, and Administrator (our contact person)
4. Roles and responsibilities: Ensure uniform process is in place for formatting, developing, revising, reviewing, adopting, managing, and publishing the Department's procedural documents (procedures, standards, guidelines, directives policies, and manuals); maintain tracking system which includes inventory, current status, and contact person information for all procedural documents of the Department; act as liaison between leadership and staff, different offices and committees, in developing and maintaining the Department's procedural documents; maintain a central repository on the Department's internet and intranet for accessing the Department's procedural documents, manuals, and forms. The Forms and Procedures Office has the primary responsibility for publishing and maintaining these documents. It is a very detailed, and perhaps fairly bureaucratic way of reviewing policies. But responsibilities of various parties are defined; deadlines enforced; and interaction regulated. The office electronically tracks and generates notices on a monthly basis listing documents approaching their assigned scheduled review date.
5. Process for implementing: Going from an archaic main-frame application to web access (about 10 years ago) at the direction of the Executive Board.
6. Internet/Intranet: See Florida's Overview document (Appendix). Florida does not track internal procedures. See Section 12 of the SOS procedure called Local or District Procedures.

7. Review process: **Scheduled Reviews**: procedural documents are scheduled for review every second anniversary of the effective date, revision date, or most recent review date. Policies are scheduled for review on an annual basis. Three months before the scheduled review date, end users are requested to review procedural documents and offer suggestions for improvement or revisions. **Preliminary Reviews:** This is the first required formal review of a new procedural document, and may be used for review of substantive revisions to an existing document. This on-line review should include all affected offices. **Executive Review:** This is the second required formal review for a new procedural document for which a user review has been completed, and the second review for a substantive revision to an existing document.

8.Updates: Florida has an application called Procedures Information management System (PIMS) that tracks Scheduled Reviews and notices are automated. This system has a very active role in the initiation of the review and approval process...not in the writing, but in the management of the processes.

9. Changes: None

10. Recommendations/cautions:

- The **best** help for the Departments procedures process was adding the **Online Procedures Review System.** Centralized location for coordinating drafts of new and revised documents, including manuals.
- Comments and responses are collected and shared with everyone (reviewers will be able to determine how their comments were addressed)
- Helps ensure coordination with all offices affected
- Eliminates hard copy distribution
- Provides centralized repository for archiving history of drafts and comments
- Florida also submitted the Review & Submitter instructions for the Online Review System just to give you an idea of how it works (see Appendix).

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Georgia DOT – R.O.A.D.S. (Repository for On-Line Access to Documentation and Standards)

Contact: Glenn D. Williams, Preconstruction Design Services Manager

1. Stand alone office: Doesn't sound like it
2. Resides in Preconstruction (Design) This is due to the desire of the Chief Engineer at the time to create one central repository for all design-related policies and documents for use by internal engineers and Consultants to access everything they need in one place.
3. Staff: 2 staff at manager levels
4. Roles and Responsibilities: The Preconstruction Design Services Manager (PDSM) basically handles the ROADS page material and has one other staff member who assists him as well. They are just the ones who maintain the repository of the documents and manage the check-in and check-out of the documents for updating to the "owners" of them. They handle all changes and then, once completed, notify the policy staff to check then back into the repository, version them, and publish the updated document. The policy staff only manages the Design-related policies and documents in a controlled environment for versioning and publishing purposes.
5. Process for implementing: Creation of the web page, the document repository, a versioning process, and then gathering the documents from the various offices
6. Intranet/Internet: All design-related policies and documents are available through the web that have been provided. Unfortunately, there is no policy which dictates that all offices must use the ROADS page for publishing their documents, so some offices maintain their documents still on their pages.
7. Review Process: basically, there are "owners" of each policy or document. These may be assigned individuals, standards committees, etc. The "owners" are responsible for all changes and approvals. The policy staff just simply post the documents.

8. Updates: The PDSM is responsible for just posting updates and then sending out update notices to everyone who has subscribed to the Notification List
9. Changes: Automation of the subscription and notification process, as well as the versioning process through the use of a true document management solution

Georgia DOT – Transportation Online Policy & Procedure System (TOPPS) (The remaining policies)

1. Stand alone office: It does not exist as an office – the Policy Administrator is a direct report to the Director of Administration.

2. Resides under the Division of Administration.

3. Staff: one person, the Policy Administrator.

4. Roles and responsibilities: The writing of policy and making revisions to policy is done by the appropriate subject matter expert. The Policy Administrator currently makes the revisions to the web page, creates new policies/procedures in web format and publishes the documents internally and externally. However; they are currently "revamping" the system to use Microsoft SharePoint. When this occurs the Administrator will be managing the process and will remain the publisher of all these types of documents. Any policies/procedures that an office within GDOT wants published on TOPPS are published. There are offices that have no policies or procedures published.

5. Process for implementing: The current documents published were taken from the Department's Manual of Guidance and published internally in the mid 1990s. Our contact was not involved in the process and does not know how it was actually started. The new process using SharePoint has come about out of need.

6. Internet/Intranet: Currently, none of the Department's procedures or internal forms is published externally. I Our contact imagines that offices have things published on their internal office website that are not published externally as well. The Policy Administrator only deals with documents published on TOPPS.
Review process: Policies are submitted by the appropriate Office Head, recommended by the appropriate Division Director and then reviewed/approved by the Treasurer, Chief Engineer and Deputy Commissioner. They also have Commissioner's Policies. These are submitted and recommended as above – usually – but then only have to be reviewed/approved by the Commissioner. Sometimes policies do come directly from the Commissioner. They also have State Transportation Board Policies. These have to be adopted and signed by the Board Chairman.
Procedures are recommended by the appropriate Office Head and reviewed/approved by the appropriate Division Director.

7. Updates? The policies published externally are to be reviewed once every 12 months for accuracy. If not, they are removed from the external site until they have been reviewed. They are still available to employees. Currently, the Policy Administrator notifies each office of policies in their area that are due an annual review.

8. Changes: Currently, major changes are underway. Right now, I can't think of a thing I'd change in SharePoint, but will know more once it has been in place for a little while.

9. Recommendations/cautions: Make everything you can automatic. The less paper the better. They will be doing everything via our network when SharePoint is implemented. This will be in just a few weeks. All of the approvals, reviews, notification of review, etc. are being generated via email and our network. Also, make sure you have a good document management system with version control.

If you decide to publish items externally for public view, make sure that whatever format you use is readily available to the public.

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Cornell University

Contact: Joshusa ja22@cornell.edu

1. Stand alone office: Yes. They were the "policy project" from 1990 through 1993, with one full-time employee. In 1994, they became the "policy department," with two full time employees. In 1997, they became the University Policy Office, and they have had approximately 2.5 employees since then (three people, all of whom have other responsibilities within the university).

2. Resides: under the VP for Financial Affairs and University Controller, simply by happenstance, and because the effort was championed originally by the then VP for Finance. Because they issue both academic and non-academic policies, the logical place for them to reside would be in the President's office. However, they have remained in the Finance division because it seems to work. They have always maintained the position that it doesn't really matter where a policy office resides.

3. Staff: One director, one staff writer, one administrator (clerical) (see #1 above)

4. Roles and responsibilities: The office is designed to be a tool for units and departments to codify, standardize, and issue "University Policies." In order for a policy to qualify as a "university policy," it must contain the following characteristics: 1. It must have widespread application; 2. It must have upper-level approval; 3. It must contain procedures for compliance; 4. It must enhance the university's mission, reduce institutional risk, promote operational efficiency, and/or help achieve compliance with applicable laws or regulations. During the process, the office ensures that policies are non-contradictory to and consistent with other policies already in the library, complete, understandable to the general public, and that all relevant contributors have been included in the process.

5. Process for implementing: Once project was approved, they then spent a chunk of money on a consulting firm to design a physical template for the policies, created in Microsoft Word. For the first several years after that, the project was a success largely because of what they like to call **"benign neglect."** They were not in anyone's head, and **we just kept plugging away at our tasks of collecting whatever existed from the various departments, units, deans, vice presidents, and putting it into the standard format, which is what can now be seen on the Web.** (However, at the time, there was no Web, and they housed the policies in seven volumes, at fourteen "central repositories" across campus). **They started with what they considered to be the least controversial policies, and got approval for them first. They built up a body of policies, and then, after about five years, hit "critical mass," at which point managers and administrators started recognizing the policy template, and wanting to use the office's services for codification of the university policies for which they had responsibility.**

6. Internet/Intranet: No. The office works on the policy documents in Microsoft Word, and keeps these versions on a secure server, but there are no additional documents for public or university view or use.

7. Review process: Sometimes the office assists in the process, but the actual review of a particular policy is managed by the responsible office for that policy. The process is detailed on the website at www.policy.cornell.edu What the website won't tell you is that **the Policy Office has historically been instrumental in keeping the process going, by attending editorial meetings, helping craft language, and acting as general "consensus-builder" during the entire process**.

8. Updates: They **recommend updating policies every five years**, and have tried to encourage this through an **informal, periodic check** of policies and then through e-mail with the responsible office. However, it is ultimately the **burden of the responsible office to ensure accuracy and updating** of, as well as compliance with, university policy. The policy office recognizes that it is in the best interest of the office responsible for a particular policy to ensure that the policy office does not promulgate incorrect information on its very visible site.

9.Changes: None really recommended. In a perfect world, it would probably be a policy AND compliance office. And it would probably be in the Office of the President now. But in general, it has been as **successful as it has because, and not in spite of, its relative obscurity,** and the odd organizational placement of the office. But it has been able to grow into a significant policy office in about fifteen years.

10. Recommendations/cautions: "I don't know what challenges your organization will face, but the most important thing for us, **in an organization with many "silos," and very large personalities and egos, was to simply not give up, and to be as non-confrontational as possible.** I remember in 1995 or so, the director and I attended the EDUCAUSE convention in Orlando. One of the other attendees, when hearing that we were heading up a university policy initiative, said simply: "Policies at a university?? That's positively Orwellian." Now that policy has become such an important part of any institution, I think he would probably have a different point of view."

DISCUSSIONS AND FINDINGS

I. Should we establish this central function?

There are many instances of inefficiencies across the Department because policies are not easily accessible. Multiple policies exist on a topic, and they are not always consistent. Occasionally, there are policies that conflict. Policies exist in various forms – sometimes hard copy, sometimes digital, and different policy owners have different ways of maintaining and archiving the policies. It is very difficult if not impossible to identify what policies govern a particular topic, or to check for redundancies or conflicts, or to insure timely updates when there is no uniform organization to our policy management. When the Attorney General's Office has to do a discovery request in the cases of litigation, providing the necessary policy history can be very cumbersome, time-consuming, expensive and frustrating to both staff and the attorneys.

II. Should it be a stand alone office?

We recommend the establishment of a stand-alone office, staffed with one to three people in the beginning. This should be adequate to establish the on-line library and roles, responsibilities, update schedules and methodologies, technology needs, etc. Future needs can be assessed once we are beyond the initial phase of the office's existence.

III.Where should it reside in the organization?

It should report to a Deputy Secretary. This would place it high enough in the organization to have the wide applicability, oversight authority, high-level visibility and support it requires. However, it should not report to the Deputy Secretary of Transit nor the State Highway Administrator. It needs to be independent of the Division of Highways and the Modal Divisions.

IV. What are the short-term and long-term staffing needs?

In the near term, staffing needs will be larger, as the policies are gathered and the database is built. But these needs can be handled with one to three permanent staff and temporary help, such as interns (Federal, state, and DOT), trainees, Productivity Services, OEQ, contractors, etc. Over time, maintenance and management will require fewer resources. (As a point of comparison, TESSM (Traffic Engineer and Safety Systems Branch) required about 6 man-years to build TEPPL. Now, in maintenance, about 2 man-days per week are sufficient.)

For the immediate short term it is recommended that the function of a "statewide policy manager" at the Department be reallocated. Up to two additional staff may be needed at the outset. The long term staffing needs will be developed by the policy function.

V. What are the roles and responsibilities of the office?

- Short-term: Manage/coordinate the gathering of all existing BOT policies, Business Unit policies, guidelines, standards, requirements, practices, customs, conventions, manuals, etc. (see definitions).from across the entire Department
- Short-term: Build the web library, and develop policies and procedures regarding maintenance and updates
- Establish and implement policy and procedure for developing, reviewing, updating, distributing, and archiving policy, etc.

Long-term:

- Design, build, administer, manage, maintain, publicize, and enforce a major, Department-wide system that ensures
- Develop and maintain the on-line library
- **C**oordinate the editing, review, issuance, archiving, and routine updating of all policies, standards, guidelines, procedures, etc.
- Manage the process by which they are posted, monitored for currency, updated, reviewed, and revised.
- Provide department wide policy oversight and direction
- Assume full responsibility for department-wide policy development, review, implementation, and enforcement
- Decision making responsibilities regarding revision, development, or disposition or policies
- Assess risk and lead the Department in practices that consider and appropriately weigh risks, and negotiate complex and controversial issues among cross-functional parties to reach closure on policies, procedures, standards, etc. that are compliant with applicable laws, statutes, and regulations and that do not put the Department at unnecessary and uncalculated risk; maintain an in-depth understanding of, and assume Department-wide responsibility for, risk and related consequences of an inconsistent or poorly managed, implemented, and enforced policies and standards; (10%)
- Assess risk and lead the Department in policy development, implementation, and management that minimizes jeopardy to the Department and the citizens of North Carolina
- Evaluate complex inter-relationships of seemingly independent functions and understand implications policies of one have on another https://apps.dot.state.nc.us/dot/directory/authenticated/UnitPage.aspx?id=15
- Strategic policy planning
- Plan and conduct outreach to the entire Department statewide on all topics related to the policy system
- Lead the Department in determining, solidifying, and enforcing consistent use of definitions of terms (policies, procedures, manuals, guidelines, and standards, etc.) consistent with state law
- Identify, direct, and execute needed training regarding the policy system

Here you will find standardized policies that have been through the official development process, and "legacy" policies that, in time, will be standardized.

VI. What is the scope? What is managed by the office?

The office is to design, manage, administer, and enforce a Department-wide policy system to manage and maintain all NCDOT policies, procedures, guidelines, standards, manuals, requirements, conventions, etc.

VII. Who owns the policies?
Business Units own the policies. They are responsible for developing, revising, updating, and enforcing. The Office, however, is responsible for maintaining the website and managing the review, revision, updating, and archiving process.

VIII. How do we define policy, guidelines, standards, etc?
Definitions for policy need to be established and/or modified and well-communicated across the Department. State statute affords the Board policy-making authority, but delegation of that authority in certain instances (e.g., regarding technical issues such as design) is not clearly spelled out.

Possible definitions could be:
<u>Policy</u> – any written directive or standard established and implemented by the NC Board of Transportation and/or the State of North Carolina that guides actions and decision-making of all employees
<u>Procedures</u> – a general means and method to accomplishing an activity or task that has been documented in writing by the Department or Business Unit (A procedure provides the descriptive narrative on the policy to which it applies. It is the "how to" of the policy. A procedure tells the organization how a policy is to be carried out.)
<u>Guidelines</u> – General statements and approaches that, if followed, will successfully be in accordance with policies and regulations
<u>Standards</u> – Standards are defined by the International Organization of Standardization (ISO) as "documented agreements containing technical specifications or other precise criteria to be used consistently as rules, guidelines or definitions of characteristics, to ensure that materials, products, processes and services are fit for their purpose."
<u>Executive Directives</u> – Statements of compliance that are in accordance with state and federal law issued by the Secretary or his/her designee for internal Department purposes only.

IX. How do we implement? Phasing?
Hire a Policy Manager (perhaps a TES III). Possibly a Management Engineer II, and an administrative assistant also. These positions are to be re-allocations.
The policy manager will decide how best to build the library and establish policies regarding its maintenance and use.
Possibilities:

- Assign an intern or temporary employee to each BU (or a BU could designate an employee with time availability to do this close to full-time) who would gather all existing policies, etc. and place them in one spot on the portal. (Dumped, not organized.) Then as pile of policies, etc. accumulates, the staff can assess and begin organizing/developing site and identifying holes.
- Start with one person, they manage the consultant contract to build
- Build Committee (staff engineers, BU heads, policy experts, etc.) chaired by Policy Manager

X. What are the technology needs? Web tool? Software needs? Server needs?
A document management/systems management software tool will be required to automate reviews. The requirements for this tool are being captured by a separate workstream, since the tool will have applications across several business units.

XI. What should be placed on Internet? Intranet?
The policy manager will decide what to place on the Internet versus the Intranet. The following is a suggested protocol:

- **Current policies with general interest on internet (e.g., driveway policies)**
- **Current internal policies on intranet (e.g., recent TMT Talent Initiative memos)**
- **Policies in review on intranet**

- **Archived policies on intranet or server**

XII. How does this (or does this) relate to the Implementation Committee? Any implications there?
The policy function would facilitate already existing policy-making functions within BUs (e.g., Implementation Committee).

XIII. What is the review process for draft policies?
The policy manager will decide and establish. See individual best case practices above for ideas.

XIV. What is the process to insure timely updates?
The policy manager will decide and establish. See individual best case practices above for ideas.

XV. What about stuff currently in R&D Library?
The Research and Development library does not have an inventory of DOT's internal policies and guidelines. It does have some DOT Standards and Manuals. Currently any hardcopies are cataloged in an internal database by accession number. The R&D library is working with the State Library of NC to standardize the cataloging system and then R&D's documents will be cataloged per the Library of Congress cataloging/classification system.

Please keep in mind that these would be documents that have been published by NCDOT and bound into a document. For example: Standards & Specifications for Roads & Structures, Roadway Standards, the Highway Design Branch Design Manual, the Highway Design Branch Policy Manual, NCDOT Standard Specifications.

The R&D librarian catalogs hard copies and electronic copies of documents. All cataloged documents, regardless of format (hardcopy or electronic) would be cataloged according to the Library of Congress classification system. Electronic documents would not be treated differently because of their format. However, they would be housed in a separate collection.

The R&D librarian does not limit the collection/cataloging/inventory to strictly research related items.

	FDOT	**GDOT**	**ODOT**	**Cornell Univ.**	**Univ. of Minn.**
Stand-alone Office?	Yes	No	No	Yes	Yes
Resides where?	Dir. of Admin	Preconstruction (Design)	Office of Communication	VP for Financial Affairs & University Controller	Office of Institutional Compliance, which reports directly to the President
Staff	4	2	1 with backup	3	3
Scope?	All Department procedures, standards, guidelines, directives policies, and manuals	Design-related policies	Larger documents only		University-wide documents (policies, procedures, forms, and tasks)

Roles & Responsibilities?	Managing & enforcing process, tracking, notification	Maintain document repository & manage check-in/ check-out of documents for updating		Codify, standardize, & issue policies; insure consistent, complete, understandable; make sure relevant parties consulted	Updates documents or publishes new, as well as produces reports on usage, etc.; gatekeeper for new policies & major revisions; facilitates the process
Automated Review	Yes	No	Yes	No	No
Update	Yes	Posting & notification only	Posting & notification only	Recommendations, informal checks	Driving update schedule; actively engaging the owners; launching comprehensive review of all existing policies

APPENDIX

Florida DOT's Policy Office Documentation

FORMS and PROCEDURES OFFICE
An Overview

STANDARD OPERATING SYSTEM (SOS)
Refer to Procedures No. 025-020-002

The SOS: The compilation of policies, procedures, directives, guidelines, standards, and manuals officially adopted by the Department.

(As of June 2007)

- 44 Policies (Administrative & Transportation)
- 212 Procedures
- 9 Directives
- 5 Guidelines
- 1 Standard
- 35 Manuals (plus chapters & sections which brings total to above 800)
- 306 Total
- 1,286 Forms

The SOS:

- Ensures statewide consistency, uniformity, and quality performance in implementing Department programs.
- Authority over the subject of a procedural document is regulated by Federal and state statutes and rules.
- The Forms & Procedures (F&P) Office is custodian of these documents.

Definitions

- Policy: Statement of principle, intent, position, course of action that governs and guides operations and programs.
- Procedure: Specific operating requirements and instructions; prescribe responsibilities, methods and processes.
- Directive: Temporary procedure (normally effective for 12 months) to introduce a new practice or process.
- Guidelines: Recommended processes intended to provide general program direction with maximum flexibility.
- Standard: An established criterion to achieve a desired level of quality.
- Manual: Consolidates procedures, directives or other documents into one publication.

Review Schedule

- Policies – Annually
  - Administrative Policies in March
  - Transportation Policies in September
- Procedures – Every 2 years
- Manuals – Every 2 years
  - Individual chapters/sections reviewed as needed

When the Review Process Starts:

Review Process Requirements
Requirements for coordinating draft reviews of proposed new and revised procedural documents:

- Procedures Online Review System
  - Electronic sharing of draft documents, along with comments and responses.
    - Current Reviews (clean and strike)

        - Expired Reviews (responsible office responds)
        - Archived Reviews (one year/future reference)

Review Responsibilities

- Reviewer
    - Use online review system
    - Provide comments by end-of-review date
    - Follow district/local procedures
- Responsible Office
    - Coordinate with affected offices
    - Respond to comments
    - Checklist

Review Types

- Scheduled Review
- Flowchart Review (optional review type)
- Preliminary Review
- Task Team or Manual Review Committee
    - (may take place of Preliminary Review)
- Executive Review
- Executive Board Agenda

Scheduled Review

- User review 3 months before SR (based on effective date)
    - Notices sent by the F&P Office to Users & Responsible Office (RO)
    - End-users review & send comments to RO
    - Comments are representative of your District/office
- Responsible Office one month before SR date receives notice from F&P – mandatory response required
        - Current as is
        - Needs revision (minor/substantive)
        - No longer needed

Preliminary Review (first formal review)

- Submitting Preliminary Review
    - Responsible office initiates review using the online review system (clean & strike)
    - Sends notice to affected offices & required reviewers
- Finalizing Preliminary Review
    - Consider & resolve all comments
    - Respond to comments online
    - Update procedure based on comments
    - Proceed to next step (manager determines)

Executive Review (second formal review) / Board Agenda

- Responsible Office will:
    - Distribute online draft to Executive Committee with changes included from preliminary review
    - Consider/resolve all comments from Committee
    - Update draft as needed
- F&P Office requests placing on EB Agenda
- Executive Board will recommend: Adopt/Adopt as Amended/Defer for Further Action/Not Adopt
- **Secretary's Signature**

GENERAL STATEMENT ABOUT THE PROCEDURES PROCESS

The Executive Board and Executive Committee consider polices and procedures as an important role in helping establish accountability and uniformity in the delivery of the Department's programs. The processes established in ***Procedure No. 025-020-002, Standard Operation System***, were designed to allow input by all affected parties. The process for new or substantively revised documents begins with a Preliminary Review by end users, followed by Executive Review (which includes the Executive Committee), and final review by the Executive Board. The office responsible for the document is required to summarize and respond to comments received from each review. The summary of comments from each review travels with the next review of the document. Adoption of procedures/policies is an item on each month's Executive Board Meeting agenda. As procedures are placed on the agenda, the final draft and summary of comments from the Executive Review are placed on the Executive Board Meeting site on the Infonet two weeks prior to the meeting.

Note: Types of Reviews

- **User Review:** Three months before the scheduled review date, end users are requested to review procedural documents and offer suggestions for improvement or revisions.

- **Scheduled (Periodic) Review:** Procedural documents are scheduled for review every second anniversary of the effective date, revision date, or most recent review date. Policies are scheduled for review on an annual basis.

- **Preliminary Review:** The **first** required formal review of a new procedural document. May be used for review of substantive revisions to an existing document. In accordance with ***Section 5.4, Task Teams and Manual Review Committees*** may be used in lieu of Preliminary Review for manuals.

- **Executive Review:** The **second** required formal review for a new procedural document for which a user review has been completed, and the second review for a substantive revision to an existing document (see ***Section 5.5***). The Executive Review is completed by the Executive Committee and Executive Board.

In the past, the review process was not as efficient in sharing responses to comments with the reviewers. This process relied on hard copy distribution. New technology such as the Internet and Infonet, however, has made it much easier and efficient to share information on a statewide basis. The Forms and Procedures Office has and continues to utilize this technology to improve the processes for managing and disseminating procedural documents in a secure technical environment.

The Procedures Online Review System on the Infonet has helped improve dissemination of drafts and the sharing of comments and responses. The system allows users to review and comment online, view all comments as they are submitted, and view the responsible office's responses to comments received. As procedural documents are approved, the summary of comments and responses are transferred to an archive-database that provides access to users for future reference. While this system makes it easier to facilitate these reviews and share comments, we must still ensure comments are consolidated and submitted as District or office opinions. Therefore, reviewers must adhere to any District or office procedures for reviewing procedural documents.

If at any time a reviewer feels their comments were not adequately addressed, it should be brought to the attention of the immediate supervisor and elevated through the chain of command for resolution.

Updated: 8/07
Procedures/Documentation General

COMPLETE REVIEW PROCESS FOR PROCEDURES

SCHEDULED REVIEWS (FOR END USERS)

Three months before the scheduled review date, the Forms and Procedures Office generates a list of documents approaching their scheduled review dates. This list is published on the Forms and Procedures Page on the Infonet, and an e-mail notice is distributed to the following groups:

Executive Committee (includes Executive Board)
Central Office Managers List
District Administration Directors
District Operations Director
District Planning Directors
District Production Directors
District Procedures Contacts

RESPONSIBLE OFFICE REVIEW

After the user review, and one month before the scheduled review date, the Forms and Procedures Office generates a ***Scheduled Review Notice*** and sends to the responsible office.

The responsible office completes the ***Scheduled Review Notice*** advising if the document is still needed or if changes are necessary. If changes are needed, the responsible office must also identify a planned date to initiate the revision process. The notice is returned to the Forms and Procedures Office by the response due date on the notice.

The response to the ***Scheduled Review Notice*** is **mandatory**. If a response is not received by the due date, Forms and Procedures will send reminder to the responsible office manager one month after due date. If response is still not received by the same date in the following month, Forms and Procedures will submit a notice to the next level manager each month until response is received. If no response is received after six months beyond original review date, notice will go to appropriate Assistant Secretary.

PRELIMINARY REVIEW

The ***Procedures Online Review System*** must be used to coordinate draft reviews within the Department.

The review period in the ***Procedures Online Review System*** defaults to 35 calendar days from the date the draft is submitted for review. This date can be adjusted if needed, but a minimum of 25 working days is recommended. If less time must be afforded, an explanation should be included in the comments section as to why a shorter response time is needed.

The office initiating the review must send an e-mail notification to all affected offices and required reviewers that the draft is available online and advise the dates of the review period. Required reviewers, as identified in ***Section 2.3.1***, include District Secretaries' Offices of General Counsel, Comptroller, Information Systems, Policy Planning, Inspector General, Director of Administration, and Procedures Administrator. See ***Guidelines for Determining Procedure Reviewers*** from the ***Procedures Support Page*** on the Infonet for assistance in determining other reviewers.

Reviewers Submit Comments

Responsible Office considers and resolves all comments received and adds responses to the online review.
Updates procedure

Proceeds to next step as determined by manager of responsible office:

New Document - Proceed to Executive Review.

Substantive revision or policy change - Executive Review or Executive Board Agenda.

Non-Substantive Revision - Submit ***Standard Operating System Request*** to the Forms and Procedures Office for final approval.

EXECUTIVE REVIEW

The ***Procedures Online Review System*** is used to coordinate draft reviews within the Department for the Executive Review, too.

The office initiating the review must send an e-mail notification to all reviewers that the draft is available for review online and advise the review period.

Reviewers submit comments, which are then addressed online.

EXECUTIVE BOARD AGENDA

The purpose of this action is to obtain Executive Board consensus prior to final approval by the Secretary on new documents or revisions to existing documents that result in a substantive or policy change.

The Executive Board usually meets the third Thursday of each month. The Forms and Procedures Office has an established deadline for accepting agenda requests for each Executive Board Meeting. This schedule is available under ***Reports*** from the Procedures home page or from ***Executive Board Meeting/Documents*** on the Department's home page on the Infonet

From the Procedures Page on the Infonet, select and complete the ***Standard Operating System Request****.* At the prompt for ***"Request Type*,"** select ***"Executive Board Agenda.***

FORMS AND PROCEDURES OFFICE COORDINATES REQUEST FOR FINAL APPROVAL

Two weeks prior to the Executive Board Meeting date, if the request is approved, the Forms and Procedures Office:

(A) Adds the final draft of the procedure and summary of comments and responses from the last review to the Infonet. If the review was handled via the ***Procedures Online Review System***, a link will be provided to the ***"Expired Site"*** for the summary of the last review. This information will be accessible from the ***Executive Board Meetings Page*** on the Infonet under ***"Documents*.*"***

(B) Distributes e-mail notice to the Executive Board and the Executive Committee, with a copy to the contact person for each procedural document on the agenda.

(C) Places on the Agenda for Executive Board Action:
Adopted
Adopted as Amended
Deferred for Further Action
Not Adopted

When adopted, signed by the Secretary.
Forms and Procedures Office publishes.
Originating office sends out notice to affected offices.

REFER TO DOT

STANDARD OPERATING SYSTEM

Procedure No. 025-020-002

Procedures Support

Word Processing files for Current Documents

- Central Office Staff retrieve files from here for revisions

Standard Operating System Request Form

Glossary of terms

Grammar and Punctuation Styles for FDOT Procedural Documents

Successful Writing Techniques

Definitions

Executive Board Agenda Schedule

Formatting Tips for MS Word 2000

Checklist for Procedural Documents

Procedure Processes

Guidelines for Determining Reviewers
Process Flow Charts for SOS Procedure
Required and Optional Sections

Procedure Formatting

Procedure Formatting Requirements
Sample Procedure (pdf)
Sample Directive
Sample Policy
Sample Summary of Comments

Manuals

General Information

Formatting

Manual Formatting Requirements
Sample Chapter
Sample Directive for Manual
Sample Signature Page
Sample Manual Adoption Procedure (Chapter 1)
Sample Manual Adoption Procedure (Not as Chapter 1)
Sample History
Guidelines for Publishing FDOT Manuals on the Web

CHECKLIST FOR PROCEDURAL DOCUMENTS

Procedural Documents include: Procedures, Manuals, Policies, Guidelines, Standards, and Directives.

1. Coordination has been made with all affected offices - don't forget Offices of General Counsel, Comptroller, and Information Systems, as applicable.

2. Comments received from reviews have been considered and appropriately addressed. A rational reason as to why a non-editorial comment was not adopted should be included in the summary of comments and responses. It is recommended that comments resulting in a "disagree" response should be coordinated with the office or person submitting the comment prior to final processing.

3. References to other documents (statutes, rules, federal regulations, other procedural documents and forms) have been verified for validity.

4. All attachments, appendices, and exhibits are attached and properly labeled.

5. Document has been reviewed for proper grammar, punctuation, typos, etc. See ***Grammar and Punctuation Styles for Procedural Documents*** available from the "User Guide - Formatting and Processing" page on the Department's Procedures Page on the Infonet. Take advantage of spell check and grammar check.

6. Document is formatted in accordance with Procedure and Manual Formatting standards available from the "User Guide - Formatting and Processing" page on the Department's Procedures page on the Infonet.

7. Other items to check during the review of your procedure:
   - Change of Secretary.
   - Changes to authorities and references.
   - Changes in process due to privatizing or reduction in staff.
   - Changes in process due to computer system changes.
   - Changes suggested by user review.
   - Changes suggested by quality assurance review.
   - Changes suggested in audit.
   - Changes required by revision of SOS.
   - Changes needed to correct spelling or grammatical problems.
   - Changes needed to improve clarity of instructions.

Approved: Effective: (Date Approved)
Office: Forms and Procedures
Topic No.: 123-456-789-a

(4 spaces)

(This is header for first page only)

____

José Abreu, P.E.
Secretary (Arial 12 font for text, headers vary)

SAMPLE FORMAT FOR FDOT PROCEDURE (16 pt)

PURPOSE: (14 pt., Uppercase)

This section is **required** as the first paragraph of a procedure. Describe the intent of the procedure. (12 pt., text)

AUTHORITY: (14 pt., Uppercase)

This section is **required** and follows PURPOSE. Identify in this section any statutes, rules or regulations that govern the process. Examples:

Sections 20.23, 334.044(2) and 334.048, Florida Statutes (F.S.)
Rule 14-17, Florida Administrative Code (FAC)

SCOPE:

This section is **required** and follows AUTHORITY. Identify in this section principal users of the procedure. Users include but may not be limited to offices within DOT at both the Central Office and Districts. If parties such as consultants are required by contract to use the procedure, they should also be identified in this section.

REFERENCES:

This section is **optional** and may be used to list other documents related to the procedure but are not considered regulatory authority for the procedure. References may include FDOT procedures, policies, manuals, handbooks or other governmental documents. When identifying documents, include topic number of the document if applicable, title, and how the document may be obtained if it does not include a topic number. Example:

Department Policy on Intelligent Transportation Systems (ITS) Concepts and Technologies, Topic No. 000-010-005

Florida Department of Transportation Level of Service Handbook: This handbooks is published by and available from the Florida Department of Transportation, Systems Planning Office, 605 Suwannee Street, MS 19, Tallahassee, FL 32399-0450.

Highway Capacity Manual, Special Report 209, Transportation Research Board

GENERAL or BACKGROUND: (14 pt. Uppercase)

These are **optional** sections that may be used to briefly summarize any general information or history of the content.

1. FIRST MAJOR SECTION: (14 pt. Uppercase)

This is the first major section of the procedure, and begins with the number 1. The heading is Arial 14, bold, uppercase. The established format for procedural documents is designed to provide user-friendly appearance for on-line use, and allow for easy referencing to desired sections within a document. The paragraph number selected is (1, 1.1, 1.1.1, 1.1.1.1). The following will provide an example of the format.

1.1 SECOND LEVEL FOR FIRST MAJOR SECTION (14 pt. Uppercase)

This is the second level for the first section of the procedure. It is numbered 1.1. The heading is Arial 14, bold, uppercase.

1.1.1 Third Level for First Major Section (14 pt. Lowercase)

This is the third level of the first section of the procedure. The heading is typed in 14 pt., bold, lower case.

1.1.2 Second Paragraph of Third Level (14 pt. Lowercase)

This is the second paragraph of the third level. Additional paragraphs would be numbered 1.1.3, 1.1.4, etc.

1.1.1.1 Fourth Level (14 pt. Lowercase)

This is the fourth level of the first section of the procedure. The heading is typed in 14 pt., bold, lowercase. It is recommended that levels not exceed four.

1.1.1.2 Second Paragraph of Fourth Level (14 pt. Lowercase)

This is the second paragraph of the fourth level. Additional paragraphs would be numbered 1.1.1.3, 1.1.1.4, etc.

1.1.1.3 Lists

Rather than paragraph numbers, one of the following formats may be used for lists:

(A) (Preferred Format)	(1)
(B)	(2)
(1)	(a)
(2)	(b)
(a)	!
(b)	!

Bullets without alphanumeric list is acceptable.

2. SECOND MAJOR SECTION (14 pt. Uppercase)

This is the second major section of the procedure. The proceeding paragraph headings would be numbered using same format as identified in Section 1 above.

2.1 SECOND LEVEL OF SECOND MAJOR SECTION (14 pt., Uppercase)

This is a continued example of the paragraph numbering and format used for FDOT procedures.

3. ALTERNATIVE FORMAT FOR LONG PROCEDURES

Long procedures may be more user-friendly if major sections begin on a new page, similar to chapters in a manual. If this is the case, the section number and title of the section may be centered at the top of the page. Example:

Section 1 (14 pt., Lowercase)

SAMPLE SECTION (14 pt., Uppercase)

Begin the second level two spaces below the title on the left margin. Example:

3.1 EXAMPLE SAMPLE SECTION

Continue paragraph numbering and format as described in Sections 1 and 2 above.

4. HEADERS

4.1 HEADER FOR FIRST PAGE

See top of first page of this document for an example of how the first page should begin.
This is typed on the first page and not created as a header.

4.2 HEADER FOR OTHER PAGES

Headers shall be typed in Arial 12 point font in the following format:

10 tabs	123-456-789-a
10 tabs	Page 2 of 5

4.2.1 Second Page to End of Procedure

The header for the procedure that includes the topic number and page number is created at the top of the second page. **DO NOT** place header on the first page and suppress it.

4.2.2 Header for Attachments and Appendices

Discontinue (not suppress) headers to begin new page numbers or for attachments and appendixes.

5. GENERAL FORMATTING STANDARDS

5.1 SOFTWARE

The Department's current word processing standard for shared documents must be used.
At the time this document was produced, the standard was Word 2002.

For flowcharts to be compatible on Infonet, they should be created in Visio.

5.2 MARGINS

Margins **MUST** be set at 1" Top, Bottom, Left and Right.

5.3 LINE SPACING AND TABS

Line spacing shall be 1.0. The default for tab settings is 0.5".

6. TRAINING

This section is **required** and should appear as the next to last section within the procedure. In this section identify any mandatory training required by this procedure. You may also identify other training courses that may be available but not required. If no training is required or available, type "None."

5. FORMS

This is a **required** section that appears as the last section of a procedure. In this section, identify all forms required by the procedure and how they may be accessed. Example:

The following forms are available from the Department's Forms Library:

025-020-19, Standard Operating System Request

025-020-16, Executive Committee Agenda Request

The following form is available from the Warehouse:

250-010-010, Leave Request/Use Record, Commodity No. 622-561

Approved:

SCKopelousos
Stephanie C. Kopelousos
Secretary

Effective: December 20, 2007
Office: Forms and Procedures
Topic No. 025-020-002-i

STANDARD OPERATING SYSTEM

PURPOSE:

To establish a uniform system for developing, maintaining and providing access to the Department's procedural documents (policies, procedures, directives, standards, manuals, and guidelines). The combination or collection of these documents is known as the Department's Standard Operating System. These documents are necessary to help ensure statewide consistency and uniformity in implementing departmental programs.

> **NOTE:** *Local (desk) procedures, district procedures and handbooks are not considered part of the Department's Standard Operating System. However,* ***Section 12*** *addresses some requirements regarding local and district procedures, and* ***Section 13*** *addresses handbooks.*

AUTHORITY:

Sections 20.23(3)(a) and 334.048, 283.55, Florida Statutes (F.S.)

SCOPE:

All District and Central Office units of the Florida Department of Transportation.

REFERENCES:

Policy No. 001-010-003, Executive Board and Executive Committee
Procedure No. 025-020-009, Topic and Subtopic Numbers
Procedure No. 050-030-001, Form Development and Control

GENERAL:

Section 20.23(3)(a), F. S., provides that the Central Office shall establish departmental policies, rules, procedures, and standards and shall monitor the implementation of such in order to ensure uniform compliance and quality performance by the District and Central Office units that implement transportation programs.

POLICY OFFICE ASSESMENT RECOMMENDATIONS
Working Draft
02-25-08

Background (case for change)

- Individual business units (BUs) develop and maintain policies in an ad-hoc fashion
- Policies are developed in silos and often not consistently communicated
- Many policies exist in hard copy only, and only in certain BU files
- No systematic way of knowing:
  - when updates are needed
  - what the latest version is
  - if a certain policy exists
  - what policies govern a certain topic
  - if one policy conflicts with another
- Difficult on internal and external customers
- Difficult for AG's office and Department staff in discovery requests

Vision

- BUs continue to own and update polices, BUT…
  - They were maintained in one spot on the web, easily accessible to internal and external (as appropriate) customers -- "one stop shopping"
  - They were text searchable, so regardless of which BU owns it, you could find any policy pertaining to particular topic
  - There was a systematic way of routinely updating
  - There was a systematic way of archiving superseded policies to have historical record
  - Policies under development or revision could be posted for review & comment

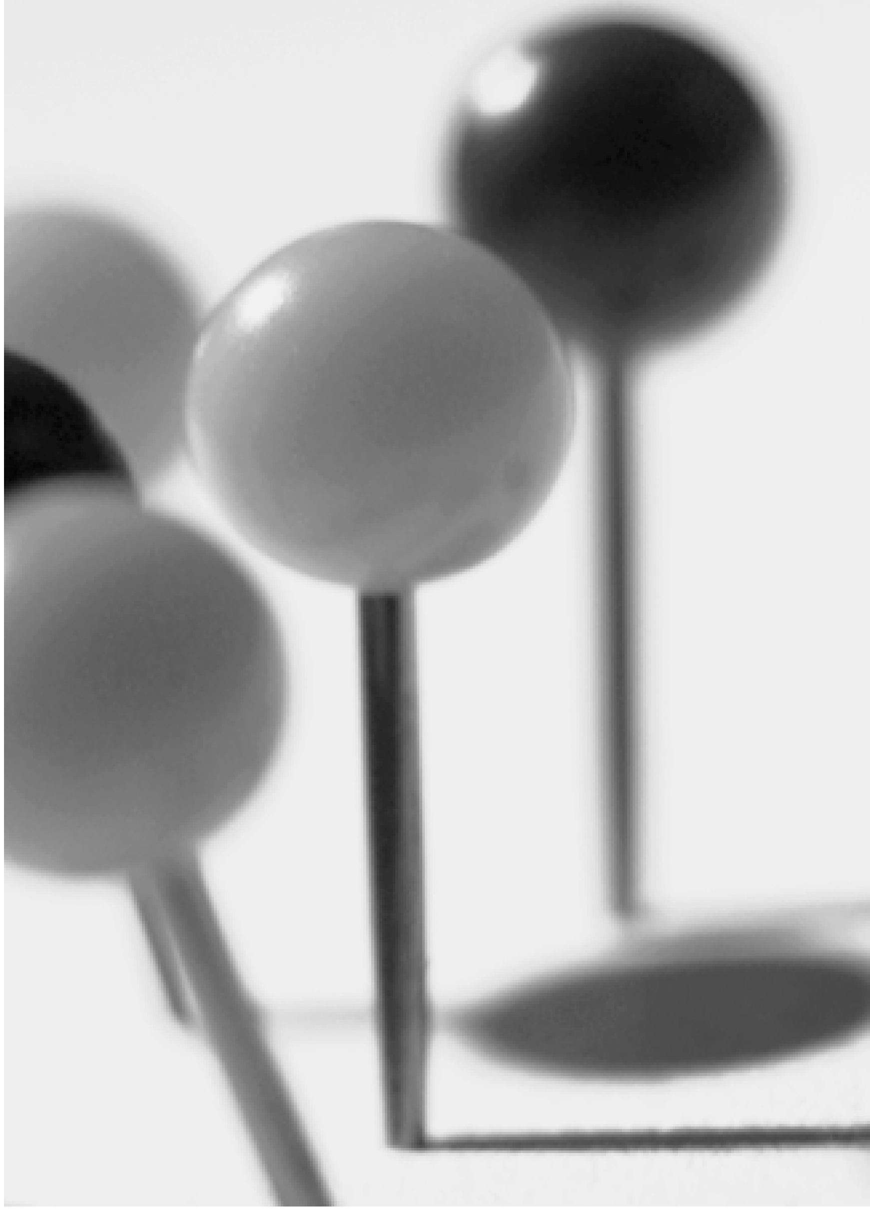
Recommendation

- Establish small, stand alone office that will house all current policies, procedures, manuals, guidelines and standards, archive old policies, develop and maintain an electronic library of policy documents, and mange the process by which they are posted, monitored for currency, updated, reviewed and revised.

Scope of Recommendation

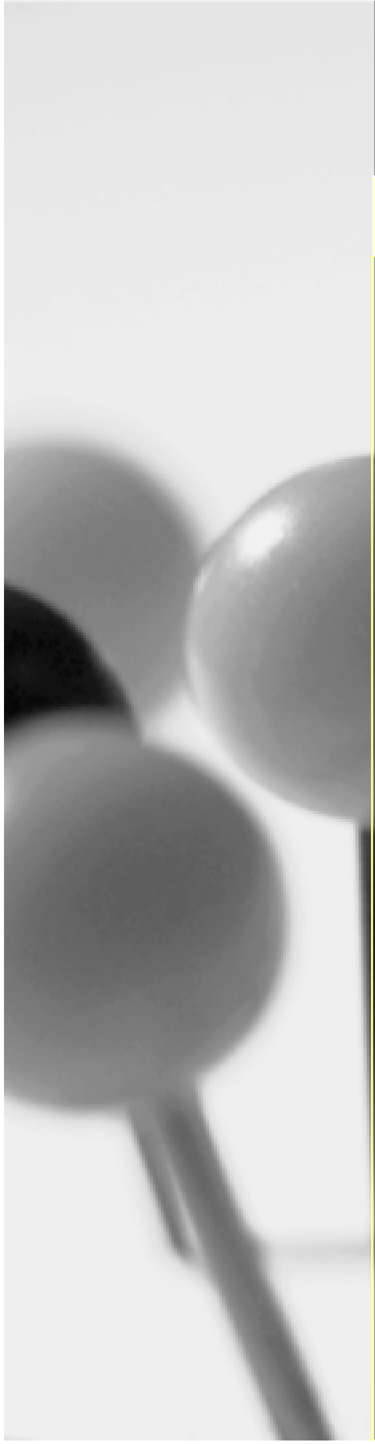
- The policy function should reside high within the organization by reporting to the deputy secretary level. The Policy Office shall be available to service all transportation modes and administrative functions within the Department.
- The policy function should be implemented with a phased approach:
  - Establish manager function first. Then design staffing plan for short and long term needs, initiate development of a "library" and website, define roles & responsibilities, and the policy management process, and establish a document management system.
- The Policy Office shall <u>not</u> be responsible for developing, writing and/or enforcing policy (although services could be made available to support BUs for these tasks)
- Technology support will be required to build the external facing library and document management system. Common policies will be externally facing on the Internet. Archived policies and those under development and available for comment will be internally facing on the Intranet. Some internal "directives" or policy memos may only be available on the Intranet.
- The new policy function would facilitate already existing policy-making functions within BUs (e.g., Implementation Committee, BOT, etc.)

Policy Office Assessment



TMT
February 25, 2008

Policy Assessment Workstream:
Missy Dickens
Ehren Meister
Theresa Canales



WHY CONSIDER A POLICY OFFICE?

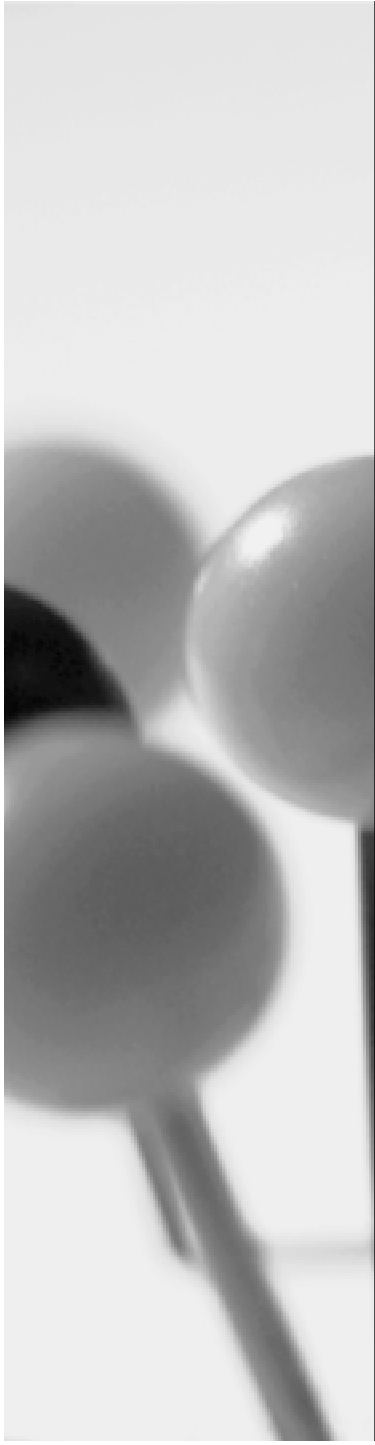
Currently...

- Individual BUs develop and maintain policies in an ad-hoc fashion
- Policies are developed in silos
- Many policies exist in hard copy only, and only in certain BU's files
- No systematic way of knowing:
  - when updates are needed
  - what the latest version is
  - if a certain policy exists
  - what policies govern a certain topic
  - if one policy conflicts with another
- Hard on internal and external customers
- Hard for AG's office and staff in discovery requests

WHY CONSIDER A POLICY OFFICE?

What if...

- BUs continue to own and update polices, BUT
- They were maintained in one office (and on one spot on the web), easily accessible to internal and external (as appropriate) customers -- “one stop shopping”
- They were text searchable, so regardless of which BU owns it, you could find any policy pertaining to a particular topic
- There was a systematic way of routinely updating
- There was a systematic way of archiving superceded policies to have historical record
- Policies under development or revision could be posted for review & comment
- Procedures, manuals and guidelines could also be included



It's Becoming Common Practice…

Who does this, anyway?

DOTs…

- Florida Department of Transportation**
- Georgia Department of Transportation**
- Ohio Department of Transportation**

Universities

- University of Minnesota**
- Cornell University**
- North Carolina State University*
- Arizona State University*
- Carnegie Mellon University
- University of South Carolina
- Indiana University
- Purdue University
- University of Southern California

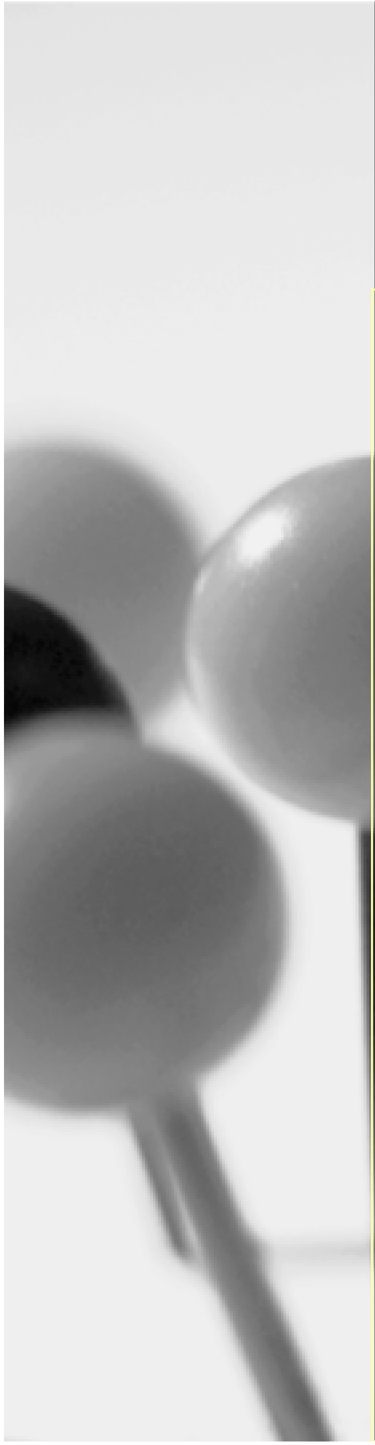
Other NC Agencies

- North Carolina Department of Administration*
- North Carolina Department of Health and Human Services*
- North Carolina Secretary of State's Office*

Not an exhaustive list!

*We contacted these

**We heard back from these



What we learned from others…

Things worth stealing, or at least considering…

- Dedication: 3 out of 5 have a stand-alone office
- Size: All are small; staff ranged from 1 to 4
- Resides: Preconstruction, Administration, Communication, Financial, Institutional Compliance
- Scope: some do ALL policies, some only Department-wide, some only specific categories
- Role: from simply managing repository and posting, to managing review/update process; some included responsibilities such as codifying, facilitating, reporting
- Review Process: 2 have automated review processes
- Update Process: ranged from posting & notification only, to recommendations and informal checks, to very regulated rigid review process

What we learned from others…

On organizational placement & user friendliness…

"Ensure a solid alignment (organizationally) as close to the top of the structure as you can. Being within the President's Office gives us more visibility and more backing when needed."

"As you can see by our committees above, we literally have an investment in time and energy from all corners of the units and the highest of levels!"

"Easy access and consistency for your end users is critical. You could have the best policies in the world, and if the intended audience can't find them or can't understand them, it's not much better than having none."

What we learned from others…

On automated review through a document management system…

"Make everything you can automatic. The less paper the better…All of the approvals, reviews, notification of review, etc. are being generated via email and our network. Also, make sure you have a good document management system with version control. If you decide to publish items externally for public view, make sure that whatever format you use is readily available to the public."

"Automation of the subscription and notification process, as well as the versioning process through the use of a true document management solution."

"More automation…would be ideal. Codifying and keeping better track of if/when things get posted could be an improvement area. Maybe a better formalized process overall, such as one with tracking and addition notification procedures to ensure items don't slip through the cracks."

What we learned from others…

On automated review through a document management system…

"The best help for the Departments procedures process was adding the **Online Procedures Review System**. Centralized location for coordinating drafts of new and revised documents, including manuals.

- Comments and responses are collected and shared with everyone (reviewers will be able to determine how their comments were addressed)
- Helps ensure coordination with all offices affected
- Eliminates hard copy distribution
- Provides centralized repository for archiving history of drafts and comments"

Recommendations

What and where…

Establish small, stand alone office

- Policy function should reside high in the DOT – not in a silo
- Possibilities:
  - Deputy Secretary
  - OIG

Recommended

Recommendations

Roles and responsibilities of the Office…

- House all current policies, procedures, manuals, guidelines, standards

- Archive old ones
- Develop and maintain on-line library
- Manage process by which they are posted, monitored for currency, updated, reviewed and revised

Recommendations

How to implement…

Phased approach:

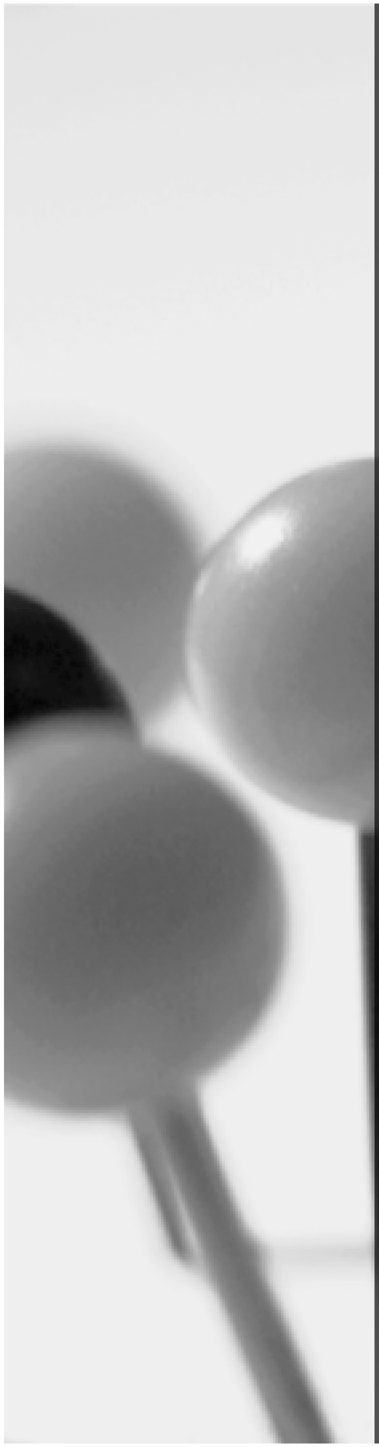
- **Establish manager function**
- **Let him/her design staffing plan**
  - – Short and long-term needs
  - – Outsourcing
  - – Temporary staff
- **Build library and website**
- **Define**
  - – roles & responsibilities
  - – policy management process
    - review process
    - update schedule/process
    - archival
  - – Document management system

Recommendations

Scope of the Office…

- **All BOT policies**
- **All lower-level policies**
- **Manuals**
- **Guidelines**
- **Procedures**
- **Standards**

Need to establish definitions for policy, guidelines, standards, etc. (statutory issue)

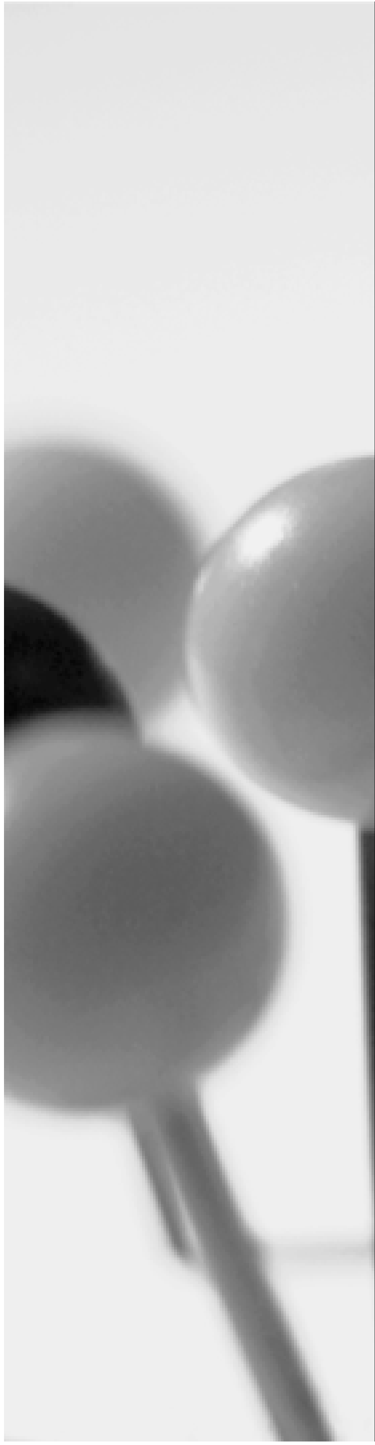


Recommendations

Other things to consider…

Intersects with another workstream…

- **Technology:**
  - **Can build library with no special tools**
  - **Will ultimately need a document management system to have automated review capabilities**
- **Internet and/or Intranet?**
  - **Current policies with general interest on internet (e.g., driveway policies)**
  - **Current internal policies on intranet (e.g., recent TMT Talent Initiative memos)**
  - **Policies in review on intranet**
  - **Archived policies on intranet or server**
- **Policy function would facilitate already existing policy-making functions within BUs (e.g., Implementation Committee)**



Policy Ownership

Policy office not responsible for…

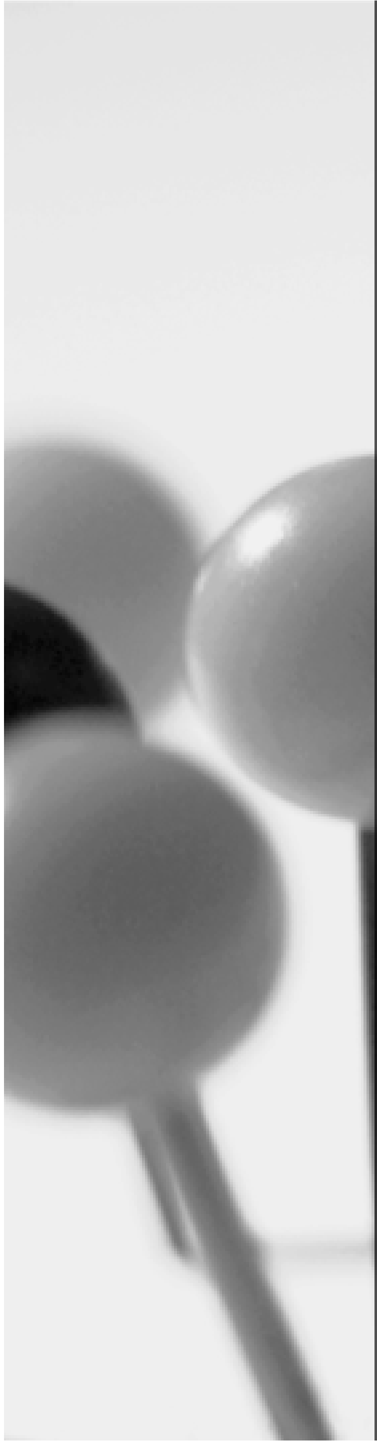
Developing

Writing

Enforcing

(although services could be made available to support BUs in these tasks)

Business Units own their own policies and are responsible for developing, writing, and enforcing

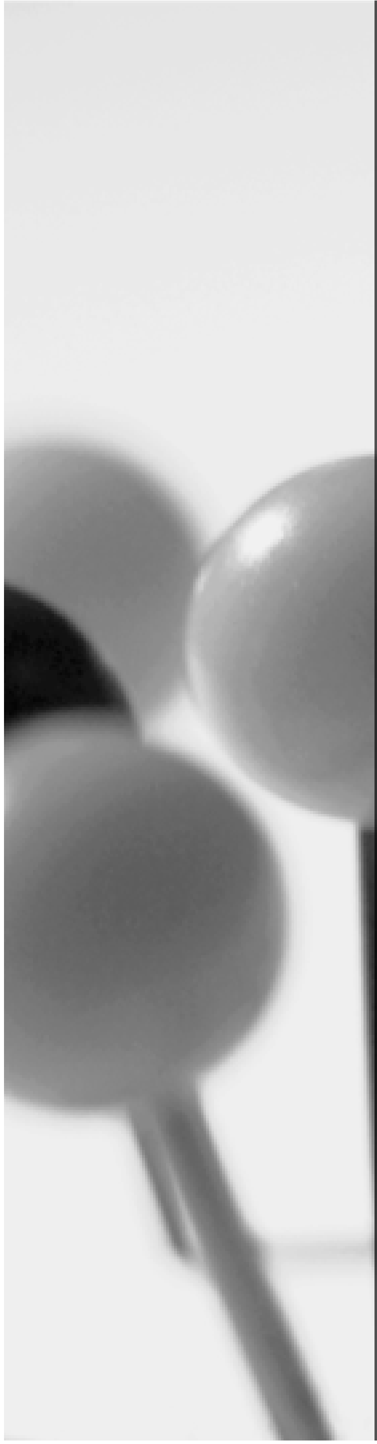


Next Steps

Dragons to slay along the way…

- Get recommendations approved
- Establish and fill position
- Work out definitions

- Decide what goes on Internet v. Intranet
- Document Management Software
- Coordinate with IT



Resources

The sites that inspired us…

- **Florida DOT**
  http://www.dot.state.fl.us/proceduraldocuments/
- **Georgia DOT**
  http://www.dot.state.ga.us/topps/index.shtml
  http://www.dot.state.ga.us/dot/preconstruction/r-o-a-d-s/
- **Ohio DOT** http://www.dot.state.oh.us/policy.asp
- **University of Minnesota**
  http://www.policy.umn.edu/groups/controller/documents/main/uppd_dept.cfm
- **Cornell University**
  http://www.policy.cornell.edu/vol4_1.cfm
- **Arizona State University**
- **Indiana University** http://www.indiana.edu/~policies/
- **Cornell** http://www.policy.cornell.edu/vol4_1.cfm

Policy Office Assessment

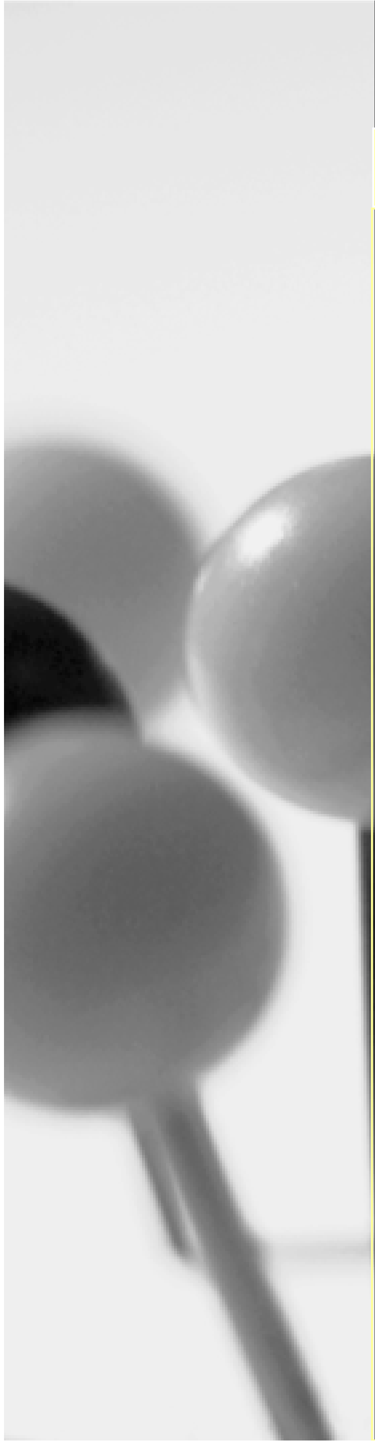
Leadership Team
February 26, 2008

Policy Assessment Workstream:

Missy Dickens

Ehren Meister

Theresa Canales



Policy Problems Exist at NCDOT

Currently…

• Individual BUs develop and maintain policies in an ad-hoc fashion

• Policies are developed in silos

• Many policies exist in hard copy only, and only in certain BU's files

• No systematic way of knowing:

- •who owns/who enforces
- •when updates are needed
- •what the latest version is
- •if a certain policy exists
- •what policies govern a certain topic
- •if one policy conflicts with another

• Hard on internal and external customers

• Hard for AG's office and staff in discovery requests

Policy Problems Exist at NCDOT

Lack of policy system puts us at risk...

- **Tort claims are frequently filed against NCDOT:**
  - **Over 800 tort claims in 2006**
  - **Over 600 were filed in 2007**
  - **194 tort claims assigned to attorneys right now.**

- **If we can't produce policies the courts require, we can be sanctioned, which can cost money:**
  - **In the discovery request for low shoulder policies last year (tort claim), the courts sanctioned NCDOT $18,000 for failing to provide requested information.**

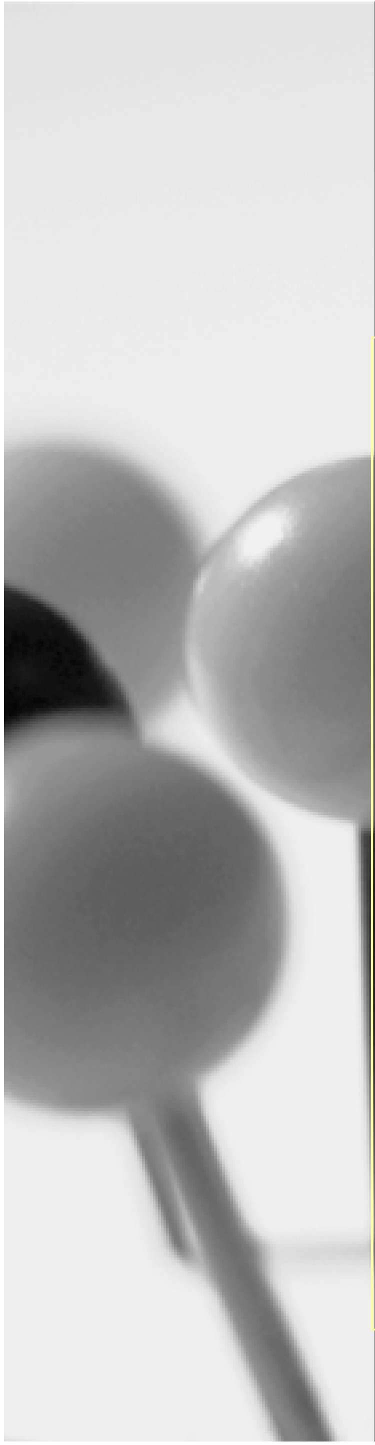
- **That may not be the only time we pay:**
  - **In arguments, if we can't show that our staff followed current policy, we may have to pay damages.**

Unresolved Issue

What is meant by "policy"?

- **All BOT policies**
- **All lower-level policies**

Need to establish definitions for policy, guidelines, standards, etc. (statutory issue)



What we learned from others…

Things worth stealing, or at least considering…

- Dedication: 3 out of 5 have a stand-alone office
- Size: All are small; staff ranged from 1 to 4
- Resides: Preconstruction, Administration, Communication, Financial, Institutional Compliance
- Scope: some do ALL policies, some only Department-wide, some only specific categories
- Role: from simply managing repository and posting, to managing review/update process; some included responsibilities such as codifying, facilitating, reporting
- Review Process: 2 have automated review processes
- Update Process: ranged from posting & notification only, to recommendations and informal checks, to very regulated rigid review process
- Recommendations: close to top of organization; user friendly; automated review through document management system

Policy Problems Exist at NCDOT

Lack of policy system hurts our ability to meet our goals…

"This [centralized policy function] will create consistency and will promote a sense that the entire Department is a team trying to accomplish a well-defined mission instead of the current sense that the Department consists of numerous fractured pieces with no common mission."
Business Unit Efficiencies Input from Special Design Section – Project Services

Recommendations

Establish a centrally located (DOT-wide) policy position to:

- House all current policies, procedures, manuals, guidelines, standards
- Archive old ones
- Develop and maintain text searchable on-line library

- Develop & manage process by which they are posted, monitored for currency, updated, reviewed and revised
- Help monitor consistency between law and policy

Recommendations

How to implement…

- Establish manager function
  - Re-allocate existing position or assign responsibility to existing person
- Let him/her assess resources needed to build
  - Outsourcing
  - Temporary staff

To build library

- Build library and website
- Define
  - roles & responsibilities
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Recommendations

Other things to consider…

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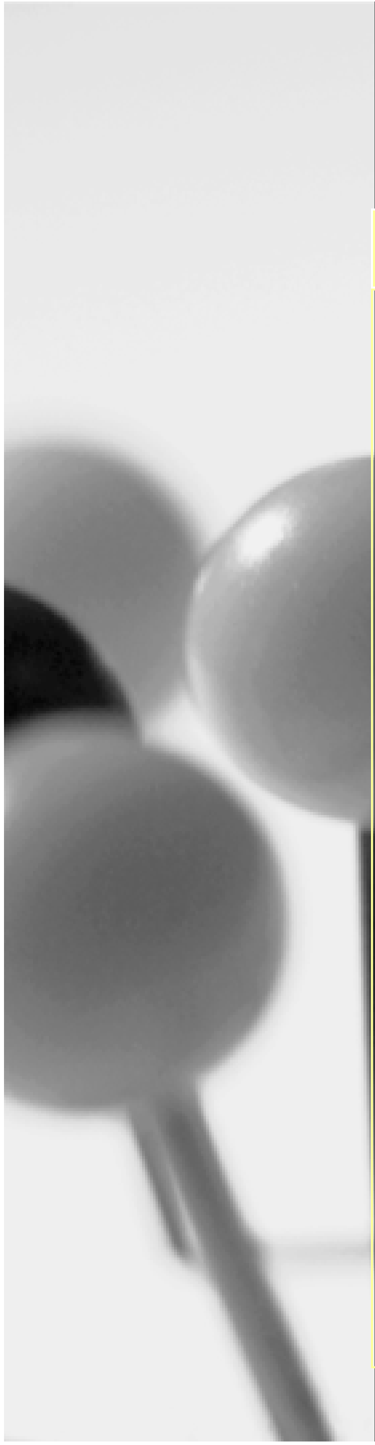

Why a Central Policy Function?

What if…

- BUs continue to own and update polices, BUT
- They were maintained in one location (and on one spot on the web), easily accessible to internal and external (as appropriate) customers -- “one stop shopping”
- They were text searchable, so regardless of which BU owns it, you could find any policy pertaining to a particular topic
- There was a systematic way of routinely updating
- Policies under development or revision could be posted for review & comment
- There was a systematic way of archiving superceded policies to have historical record
- Procedures, manuals and guidelines could also be included

Next Steps

Dragons to slay along the way…

- Get recommendations approved
- Establish position/function
- Work out definitions

- Document Management Software